



PTO/SB/08A (08-03)

Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	09/827,545	
			Filing Date	April 6, 2001	
			First Named Inventor	Sprunk, Eric J.	
			Art Unit	2611	
			Examiner Name	Faile, Andrew I.	
Sheet	1	of	1	Attorney Docket Number	018926-003150US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code ² (if known)			
MPO	AA	US-6,256,393 B1	07-03-2001	Safadi et al.	
	AB	US-			
	AC	US-			
	AD	US-			
	AE	US-			
	AF	US-			
	AG	US-			
	AH	US-			
	AI	US-			
	AJ	US-			

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ²
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
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	AL							<input type="checkbox"/>
	AM							<input type="checkbox"/>
	AN							<input type="checkbox"/>
	AO							<input type="checkbox"/>

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	AP		
	AQ		
	AR		
	AS		
	AT		

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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.



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			First Named Inventor	Sprunk, Eric J.	
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			Examiner Name	Faile, Andrew I.	
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MP	A1	US-5,912,972	08-15-1999	Barton	
	A2				

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
MP	B1	EPO	• EP 0 752 788	A	01-08-1997			<input type="checkbox"/>
	B2	EPO	• EP 0 948 019	A	09-29-1999			<input type="checkbox"/>
	B3	EPO	EP 1 222 814	A	07-17-2001		same as WO 01/28232	<input type="checkbox"/>
	B4	PCT	• WO 98/33325	A2	07-30-1998			<input type="checkbox"/>
	B5	PCT	• WO 99/39504	A	08-05-1999			<input type="checkbox"/>
	B6	PCT	• WO 01/28232	A1	04-19-2001			<input type="checkbox"/>

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Sheet 1 of 1

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Examiner	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
MPD	AA	US-6,185,678	B1	02-06-2001	Arbaugh, et al.	
	AB	US-				
	AC	US-				
	AD	US-				
	AE	US-				
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	AG	US-				
	AH	US-				
	AI	US-				
	AJ	US-				

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Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
MPD	AK	EP	0 601 500	A1	06-15-1994	Testdrive Corporation		
l	AL	PCT	WO 97/25798	A1	07-17-1997	The Mitre Corporation		
	AM							
	AN							

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MPD	AO	ARBAUGH, William A., et al., A Secure and Reliable Bootstrap Architecture, Proceedings of the IEEE, December 2, 1996, pp. 1-7.	
	AP		

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Mark R. R.

Date
Considered

5/5/05

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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1448A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 2

Complete if Known

Application Number 09/827,545
Filing Date April 6, 2001
First Named Inventor Sprunk, Eric J.
Group Art Unit 2611
Examiner Name
Attorney Docket Number 018926-003150US

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U.S. PATENT DOCUMENTS

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		Number	Kind Code ² (if known)			
MM	AA	5,933,498		Schneck, et al.	08-03-1999	
	AB	6,314,409	B2	Schneck, et al.	11-06-2001	
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	AU							
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	AZ							
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² Unique citation designation number. ³ See attached Kinds of U.S. Patent Documents. ⁴ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁷ Applicant is to place a check mark here if English language Translation is attached.

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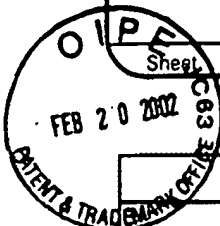
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Sheet 2 of 2

Complete if Known

Application Number	09/827,545
Filing Date	April 6, 2001
First Named Inventor	Sprunk, Eric J.
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Examiner Name	
Attorney Docket Number	018926-003150US

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MPE	BC	HACKENBERG, GERALD, <i>Computerviren: Vorbeugung und Bekämpfung</i> , 258 IT Informationstechnik, 32 (1990) Februar, no. 1, Siemens AG, Munchen-	
I	BD	English translation of above Cite No. BC	
	BE	SCHNECK, PAUL B., <i>Persistent Access Control to Prevent Piracy of Digital Information</i> , Proceedings of the IEEE, Vol. 87, No. 7, July 1999, pp. 1239-1250	
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	BG		
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	BL		
	BM		

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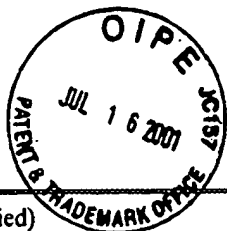
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Examiner Signature	<i>Mark R. V.</i>	Date Considered	5/5/05
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FORM PTO-1449 (Modified)			Attorney Docket No.: 18926-003150US		Application No.: 09/827,545	
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			Applicant: Eric Sprunk et al.			
			Filing April 6, 2001		Group: Unassigned	
Reference Designation			U.S. PATENT DOCUMENTS			Page 1
Examiner Initial	Document No.	Date	Name	Class	Sub-class	Filing Date (If Appropriate)
MM	AA 5,844,986	12/1/98	Davis	380	4	RECEIVED JUL 18 2001 Technology Center 2600
	AB 5,912,972	6/15/99	Barton	380	23	
	AC 5,005,200	4/2/1991	Fischer	380	30	
	AD 5,982,891	11/1999	Ginter et al.	380	4	
FOREIGN PATENT DOCUMENTS						
	Document No.	Date	Country	Class	Sub-class	Translation (Yes/No)
MM	AE EP 0 752 786 A1	08.01.1997	EPO	H04N	7/167	
	AF EP 0 909 094 A1	14/-4/1999	EPO	H04N	7/173	
	AG EP 0 914 001 A1	06.05.1999	EPO	H04N	7/16	
	AH EP 0 936 813 A1	18.08.1999	EPO	H04N	7/00	
	AI EP 0 946 019 A1	29.09.1999	EPO	H04L	9/32	
	AJ WO 98/55910	10.12.98	WIPO	G06F		
	AK WO 98/56180	10.12.98	WIPO	H04N	7/167	
	AL WO 99/09743	25.02.99	WIPO	H04N	7/167	
	AM WO 99/30217	17.06.99	WIPO	G06F	1/00	
	AN WO 99/39504	05.08.99	WIPO	H04N	7/167	
	AO WO 99/53624	21.10.99	WIPO	H04B	1/69	
	AP WO 00/04727	27.01.00	WIPO	H04N	7/24	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)						
MM	AQ	Olin Sibert et al., "DigiBox: A Self-Protecting Container for Information Commerce," Proceedings of the First USENIX Workshop on Electronic Commerce, New York, July 1995.				
	AR	InterTrust Technologies Corporation, "A Piece of the Tick. Supporting the Commercial Redistribution of Electronic Information through Value Chains," October 1998.				
	AS	"Digital Consumer Electronics Handbook," McGraw-Hill, 1997, pp. 17.18-17.25.				
	AT	"SentinelSuperPro," Rainbow Technologies. Retrieved from the Internet: http://sentinel.rainbow.com , pp. 1-2.				
	AU	"iKey," Rainbow Technologies. Retrieved from the Internet: http://ikey.rainbow.com , pp. 1-2.				
	AV	Monica Pawlan et al., "Signed Applets, Browsers, and File Access." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Signed/index.html , April 1998.				
	AW	Monica Pawlan, "Cryptography: The Ancient Art of Secret Messages." Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/Crypto/index.html , Feb. 1998.				
	AX	Monica Pawlan, "Is the Only Really Secure Computer a Disconnected Computer?" Retrieved from the Internet: http://developer.java.sun.com/developer/technicalArticles/Security/ReallySecure/index.html , Jan. 1998.				
	AY	Microsoft Corporation, "Microsoft Authenticode Technology. Ensuring Accountability and Authenticity for Software Components on the Internet," Redmond, VA, Oct. 1996.				
	AZ	"Modern Cable Television Technology: Video, Voice, and Data Communications," Morgan Kaufmann Publishers, Inc., San Francisco, CA, 1999, pp. 743-751.				
	BA	Dan S. Wallach et al., "Extensible Security Architectures for Java," BNS Document ID XP-002101681, 1997, pp. 1-26.				



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		Filing April 6, 2001	Group: Unassigned
<u>MM</u> BB	Charles Crichton et al., "When to trust mobile objects: access control in the Jini™ Software System," BNS Document ID XP-002155686, 1999. pp. 116-125.		
BC	"Building a Foundation of Trust in the PC," The Trusted Computing Platform Alliance, pp. 1-7 January 2000.		
EXAMINER	DATE CONSIDERED <u>2/5/05</u>		

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